

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1448/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 3

**Complete If Known**

Application Number	10/024,796
Filing Date	December 19, 2001
First Named Inventor	Stephen Todd
Art Unit	2164
Examiner Name	Sana A. Al Hashemi
Attorney Docket Number	EMC-034PUS

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
SA	US- 20030135385		07/17/2003	Karpoff	
	US- 5,835,724		11/10/1998	Smith	
	US- 6,829,685		12/07/2004	Neal et al.	
	US- 20020112113		08/15/2002	Karpoff et al.	
	US- 6,826,580		11/30/2004	Harris et al.	
	US- 6,788,649		09/07/2004	Dugan et al.	
	US- 5,822,780		10/13/1998	Schutzman	
	US- 5,550,816		08/27/1996	Hardwick et al.	
	US- 6,795,830		09/21/2004	Banerjee et al.	
	US- 6,615,258		09/02/2003	Barry et al.	
	US- 6,785,794		08/31/2004	Chase et al.	
	US- 6,845,154		01/18/2005	Cave et al.	
	US- 6,993,632		01/31/2006	Kruckemyer et al.	
	US- 6,411,943		06/25/2002	Crawford	
	US- 6,345,288		02/05/2002	Reed et al.	
	US- 5,918,229		08/29/1999	Davis et al.	
	US- 5,978,577		11/02/1999	Rierden et al.	
	US- 6,430,611		08/06/2002	Kita et al.	
	US- 20020095547		07/18/2002	Watanabe et al.	

## FOREIGN PATENT DOCUMENTS

Examiner  
Signature

Sana Al-Hashem

Date  
Considered

3/13/07

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

3

## Complete If Known

Application Number	10/024,796
Filing Date	December 19, 2001
First Named Inventor	Stephen Todd
Art Unit	2164
Examiner Name	Sana A. Al Hashemi
Attorney Docket Number	EMC-034PUS

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
SA		US- 6,714,976	03/30/2004	Wilson et al.	
		US- 6,178,529	01/23/2001	Short et al.	
		US- 6,308,206	10/23/2001	Singh	
		US- 6,449,739	09/10/2002	Landan	
		US- 6,560,611	05/06/2003	Nine et al.	
		US- 6,148,335	11/14/2000	Haggard et al.	
		US- 6,516,350	02/04/2003	Lumelsky et al.	
		US- 6,732,167	05/04/2004	Swartz et al.	
		US- 6,574,664	06/22/2004	Bush	
		US- 6,649,315	11/18/2003	Takasaki	
		US- 2005/0049903	03/03/2005	Raja, Ramkumar N.	
		US- 6,993,632	01/31/2006	Kruckemeyer et al.	
		US- 6,421,737	07/16/2002	Stone et al.	
		US-			

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

Sana Al-Hashemi

Date  
Considered

3/13/07

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for form 1449/PTO				Complete If Known	
				Application Number	10/024,796
				Filing Date	December 19, 2001
				First Named Inventor	Stephen Todd
				Art Unit	2164
				Examiner Name	Sana A. Al Hashemi
Sheet	3	of	3	Attorney Docket Number	EMC-034PUS

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
SA		"HighGround SRM Enterprise Edition 4.0", System News, Article #3577, Vol. 38, Issue 3, 8 pgs., April 16, 2001.		T <sup>2</sup>
		"New SRM 3.0 Enterprise Edition Now Downloadable", Sunbelt W2Knews Electronic Newsletter, 7 pgs., November 5, 1998.		
		"Storage Management Best Practices with Sun HighGround Storage Resource Manager Software", Sun Microsystems White Paper, 18 pgs., July 2001.		
		Jenkins, Ron, "Why Web-based Network Monitoring? Leveraging the Platform," International Journal of Network Management, Vol. 9, Issue 3, May 1999, pgs. 175-183.		
		Gulagoussou, M. H.; Boutaba, R.; Kadoch, M., "A Java API for Advanced Faults Management," IEEE/IFIP International Symposium on Integrated Network Management Proceedings, 14-18 May 2001, pgs. 483-498.		
		"Service Provider," Newton's Telecom Dictionary, Harry Newton, February 2002, pg. 661.		

Examiner Signature	Sana Al-Hashemi	Date Considered	3/13/07
--------------------	-----------------	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.  
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 36 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.